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**ROCKY FLATS PLANT  
EMD ADMINISTRATION  
PROCEDURES MANUAL**

**CATEGORY 1**

Manual No.: **3-21000-ADM**  
Procedure No.: **Table of Contents, Rev 10**  
Page: **1 of 5**  
Effective Date: **02/01/93**  
Organization: **Environmental Management**

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ADMINISTRATIVE PROCEDURES MANUAL**

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**DOCUMENT CLASSIFICATION REVIEW WAIVER  
PER R.B. HOFFMAN, CLASSIFICATION OFFICE  
JUNE 11, 1991**

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**ENVIRONMENTAL MANAGEMENT  
 DOCUMENT CHANGE NOTICE (DCN)**

Procedure Number 3-21000-ADM 05.07, R1

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Title	Preparation of Document Change Notice	Date	1/25/93	DCN Number	3-21000 ADM 05.07, R1 93.01
Expires	1/25/94	Procedure Revision Required	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Scope Limitation	None				

Item Number	Page	Step or Paragraph	Changes (Use DCN CONTINUATION SHEET for Additional Space)
1	3	2a	Make pen changes to step 2a so that the second and third sentences read. "The date shall be within <u>one year</u> of the issuance date and must be recorded on the 'Expires' line. Periods greater than <u>one year</u> for temporary changes require authorization of the QAPM."
2	3	2b	Make a pen change to the first sentence of step 2b so that it reads, "If this is not a temporary change, Record the date <u>one year</u> from the current date on the 'Expires' line."

Justification (Reason for Change – Provide Numbers To Reference Corresponding Items Above)

(1,2) To bring the procedure into line with 2-20000-ADM-05.02

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 PER R.B. HOFFMAN, CLASSIFICATION OFFICE  
 JUNE 11, 1991

Concurrence	Organization	Req	Date	Concurrence	Organization	Req	Date
<i>[Signature]</i>	QAPM	X	1/19-93	<i>[Signature]</i>	User	X	1-19-93
<i>[Signature]</i>	ERM AGM	X	1-20-93				
Approval of Responsible Manager		Date		Is Posting Req'd?		If Yes, By What Date?	
<i>[Signature]</i>		1/20/93		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		Upon receipt	
						Date Posted	

JAN 25 1993

This is a ~~SECRET~~ **CONTROLLED DOCUMENT** ADMINISTRATIVE RECORD SCREENING AND PROCESSING

EG&G - ROCKY FLATS PLANT  
ENVIRONMENTAL ADMINISTRATIVE  
PROCEDURE MANUAL

Manual Number: 3-21000-ADM  
Procedure No: 17.02, Rev 0  
Page: 1 OF 41  
Effective Date: 12/7/92  
Organization: Environmental Restoration

Category 3

TITLE:  
ADMINISTRATIVE  
RECORDS SCREENING  
AND PROCESSING

Approved By:

*R. B. Bondelt*  
Associate General Manager  
Environmental Restoration

*12/4/92*  
Date

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### 1.0 PURPOSE

This procedure establishes requirements and methods for developing the Administrative Record File and Administrative Record (AR) for the Rocky Flats Plant (RFP). Implementation of this procedure ensures that records used as the basis for a response action are compiled and made available for public comment. For purposes of this procedure, the term AR will also include the AR File, because the AR File becomes the AR when the final decision document for a response action is signed.

### 2.0 SCOPE

This procedure specifies the steps for screening documents, preparation, and maintenance of the AR. Implementation of EM Department Administrative Procedure 3-21000-ADM-17.01, "Quality Assurance Records Management" is a prerequisite to application of this procedure.

The basis of the Department of Energy's (DOE) selection of a response action must be documented in the AR. The AR shall include the documents considered or relied upon by DOE in making the response action decision for the RFP. For purposes of these procedures, documents considered by DOE are documents that were relied upon in the decision-making process or comments that DOE solicited or received from regulators, other interested parties and the public. The scope for developing the Administrative Record consists of implementing the following tasks: 1) screening the Site File and outside documents received by RFP, 2) compiling selected documents, 3) recording relevant information, 4) indexing the documents using a computerized database, 5) generating indices, 6) microfilming the Index and AR documents, 7) preparing microfiche, 8) installing microfiche at repositories for public viewing, and 9) maintaining and updating the AR file.

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### 3.0 DEFINITIONS

- 3.1 Administrative Record (AR) - the completed compilation of documents DOE considered or relied upon in selecting a response action. The AR established under Section 113(k) of the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) serves two primary purposes. First, under Section 113(j), the AR is documentation for the basis of the response selection set forth in the record. The AR is also the documentation used in judicial review of any issue concerning the adequacy of a response selection that is normally limited to the record. Second, Section 113(k) requires that the AR act as a vehicle for public participation in the selection of the response action.
- 3.2 Administrative Record Coordinator - the individual within the Environmental Restoration Records and Reporting Division assigned by the Manager to be responsible for establishing methods for identifying, capturing, screening, and processing the Administrative Record File documents.
- 3.3 Administrative Record File - the ongoing collection of documents DOE anticipates will constitute the Administrative Record when the selection of a response action is made.
- 3.4 Administrative Record Index - the computerized compilation of Administrative Record documents listing bibliographic information.
- 3.5 ARAR - Applicable or Relevant and Appropriate Requirement.
- 3.6 CDH - Colorado Department of Health.
- 3.7 CERCLA - Comprehensive Environmental Response, Compensation, and Liability Act of 1980 as amended by the Superfund Amendments and Reauthorization Act of 1986 (also known as Superfund).
- 3.8 DOE - Department of Energy.
- 3.9 dBASE III+ - a computer software database system.
- 3.10 Document - includes writing, drawings, graphs, charts, photographs, and data compilation from which information can be obtained.

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- 3.11 Engineering Evaluation/Cost Analysis (EE/CA) - a technical engineering and cost evaluation related to assessments of the feasibility and effectiveness of actions, treatments, and remediation alternatives.
- 3.12 EG&G Rocky Flats, Inc. - the current management and operating contractor for the Rocky Flats Plant.
- 3.13 Environmental Management - RFP organizations that protect public health and the environment and remediate past impacts. These organizations are the Environmental Protection Department and Environmental Restoration.
- 3.14 EM records center - The records center maintained by the Environmental Restoration Records and Reporting Division.
- 3.15 EPA - United States Environmental Protection Agency.
- 3.16 ERR - Environmental Restoration Records & Reporting Division.
- 3.17 File Category - the specific Operable Unit or Sitewide category to which a document belongs.
- 3.18 FS - Feasibility Study.
- 3.19 IBM PC - International Business Machine - Personal Computer.
- 3.20 NCP - National Oil and Hazardous Substances Contingency Plan.
- 3.21 Operable Unit (OU) - An area composed of Individual Hazardous Substance Sites (IHSS) or other areas designated as Operable Units in the Inter-Agency Agreements (IAG).
- 3.22 PA - Preliminary Assessment.
- 3.23 PRP - Potentially Responsible Party.
- 3.24 OAPjP - Quality Assurance Project Plan.
- 3.25 QA - Quality Assurance.
- 3.26 QC - Quality Control.
- 3.27 RAAMP - Radioactive Ambient Air Monitoring Program.
- 3.28 RFP - Rocky Flats Plant.

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3.29 RI - Remedial Investigation.

3.30 RI/FS - Remedial Investigation/Feasibility Study.

3.31 SI - Site Investigation.

3.32 Site - Rocky Flats Plant Site.

3.33 Site File - Collectively all files and documents potentially containing information applicable to the AR.

### 4.0 RESPONSIBILITIES

#### NOTE

Confidential as used in this procedure does not refer to material defined as classified or sensitive and is not meant to refer to material related to RFP security definitions.

#### 4.1 The Environmental Restoration Records and Reporting Division Manager:

4.1.1 Ensures that the AR Files are updated in accordance with CERCLA.

4.1.2 Ensures that the AR Coordinator is receiving appropriate documents for inclusion into the AR File.

4.1.3 Ensure that external organization submit copies of records they generate or receive, which may belong in the AR, to the EM records center.

#### 4.2 The AR Records Coordinator:

4.2.1 Develops procedures for the creation of AR Files.

4.2.2 Ensures notification of the availability of the AR Files for public inspection.

4.2.3 Coordinates efforts with the EM Records Custodian to obtain the necessary documents.

4.2.4 Updates the AR Files and indices on a quarterly basis.

4.2.5 Compiles information in a central location.

4.2.6 Indexes the AR Files.

4.2.7 Ensures availability of the AR File for copying.

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- 4.2.8 Ensures availability of validated sampling data, possibly at a location other than that of the AR Files.
- 4.2.9 Coordinates with EM Managers on questions of relevance and confidentiality of documents submitted for inclusion in the AR Files.
- 4.2.10 Maintains the confidential portion of the AR Files.
- 4.2.11 Maintains the compendium of guidance documents and technical references.
- 4.2.12 Notifies appropriate personnel of schedules for review of AR Files.
- 4.2.13 Coordinates and oversees all project-related activities performed by AR staff.
- 4.2.14 Interfaces with the RFP Community Relations Department.
- 4.2.15 Interfaces with the DOE contact.

### 4.3 EM records center

- 4.3.1 Collects all EM quality records and provides them to the AR Coordinator to determine if they are part of the AR.
- 4.3.2 Maintains copies of all EM quality records, including those records that are part of the AR, in a retrievable form.

### 4.4 Environmental Protection Department and Environmental Restoration Management

- 4.4.1 Ensures that all documents, for which they are responsible, that should be included in the AR File are identified as belonging in the AR.
- 4.4.2 Ensures that records that may need to be in the AR are submitted to the EM records center.

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**4.5     EM Personnel**

- 4.5.1     Submits all records that may need to be in the AR to the EM records center.
- 4.5.2     Identifies documents that should be included in the AR File.

**4.6     EM Subcontractors**

- 4.6.1     Submits the original and a copy of all quality records, which may need to be in the AR, to the EM records center.
- 4.6.2     Prior to project closure verifies that all records, particularly those which may be part of the AR, have been submitted to the EM records center (see 3-21000-ADM-21.03, Project Closure).

**4.7     Associate General Manager for Environmental Restoration Management**

- 4.7.1     Overall responsibility for the AR's adequacy.
- 4.7.2     Overall responsibility for implementation of this procedure and related AR procedures.
- 4.7.3     Resolves disputes related to the initial inclusion of documents in the AR, when they cannot be resolved between the ER OU Managers, the ARC, and Records and Reporting Division Manager.

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### 5.0 INSTRUCTIONS

#### NOTE

The first method (see 5.1.3), submittal of records to the EM records center by EM personnel, is intended to be the primary method of capturing candidate AR documents. The approach described in this procedure to develop the complete AR for the RFP is based on the preliminary selection of AR documents by EG&G followed by the review of the AR Index by DOE. A final review of the AR Index is made by the United States Environmental Protection Agency (EPA) and the Colorado Department of Health (CDH) before the final AR is approved and produced. Section 5.8 contains general information that applies to Section 5.1 to 5.7, 5.7.5. Existing records already included in the AR shall remain there, unless they are removed in accordance with this procedure. The existing EM records that have not been screened will be screened as these existing records are evaluated for inclusion in the EM quality records, consistent with 3-21000-ADM-17.01, Quality Records Management and this procedure.

#### 5.1 Document Accumulation

5.1.1 Existing EM records shall be formally screened to identify records that belong in the AR.

5.1.1.1 This screening will follow all portions of this procedure except that the list of records will be generated by a review of existing records rather than from the list of those records received by the EM records center.

5.1.1.2 This screening of existing records shall be conducted in accordance with procedure 3-21000-ADM-17.04, Review of Existing EM Records for Inclusion in the Administrative Record and/or the EM Quality Records System (when issued).

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5.1.2 Personnel attempting to identify potential AR documents should follow principles listed below:

- (1) The AR should be compiled as documents relating to the selection of the response action are generated or received by DOE or EG&G.
- (2) The AR should include documents that DOE relied upon in the decision process whether or not they support DOE's ultimate response selection.
- (3) The AR should be an explanation of the basis for the selection of a response action.
- (4) The AR should reflect the public's input in the selection process for the response action.
- (5) Personnel submitting documents to the EM records center should check the AR box on the Records Transmittal form if the record appears to be part of the AR.

5.1.3 Periodically, all EM personnel shall submit two copies of all new records to the EM records center in accordance with 3-21000-ADM-17.01, QA Records Management.

5.1.4 The AR Coordinator contacts cognizant operable unit (OU) and project managers who have not submitted their records to the EM records center and reviews the available files.

5.1.5 The AR Coordinator initiates actions to obtain documents from sources outside EG&G and DOE including EPA, other Federal, state, and local agencies (such as CDH), and all subcontractors participating in remedial activities at the site. This process to collect documents external to RFP will be coordinated through DOE/RFO. These external records include material generated by these agencies and organizations, since the beginning of RFP remediation activities.

5.1.5.1 The AR Coordinator shall review the existing agreements and contracts and prepare a list of agencies and organizations that may need to submit records for inclusion in the AR.

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- 5.1.5.2 The AR Coordinator draft formal requests for the routine submission of these documents to the EM records center. The requests shall be from DOE to the agency or organization, unless the organization is a subcontractor of EG&G in which case the subcontractor shall be instructed through the appropriate EG&G Procurement Subcontractor Administrator.
- 5.1.5.3 The AR Coordinator shall prepare a letter with the list of agencies and organizations (see Step 5.1.5.1) and the document request letters (see Step 5.1.5.2) attached.
- 5.1.5.4 The AR Coordinator shall submit this letter and attachments to the Environmental Restoration Records and Reporting Division Manager for review and revise as necessary.
- 5.1.5.5 The Environmental Restoration Records and Reporting Division Manager shall submit this letter to DOE/RFO in a manner consistent with RFP requirements.
- 5.1.5.6 The records received from the agencies shall be treated as EM records and handled in a manner consistent with 3-21000-ADM-17.01, QA Records Management and this procedure.

### **5.2     Screening AR Documents**

#### **NOTE**

Appendix 1, "Criteria for Administrative Record Compilation" contains typical AR documents and may be used by the AR Coordinator and his/her staff for determining whether a document should go into the AR or not.

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5.2.1 The AR Coordinator performs initial screening of each of the records, or an EM records center printout of records received, in accordance with:

- (1) the requirement of the CERCLA and the National Contingency Plan (NCP),
- (2) the Interagency Agreement, and
- (3) the guidance provided in EPA OSWER Directive No. 9833.3A-1, "Final Guidance on Administrative Records for Selecting CERCLA Response Actions" (1990 or latest edition)

to determine if a document belongs in the AR Files.

5.2.2 Evaluates (initial screen) each record obtained from other sources (see Step 5.1.4 and 5.1.5) against this guidance to determine if it belongs in the AR Files.

5.2.3 Identifies those documents considered to be candidate AR documents based on this initial screening (Appendix 1).

5.2.4 Submits the initial AR screening results to the EG&G OU Manager for concurrence.

5.2.5 Resolves any concerns raised by the OU Manager.

5.2.6 Obtains the OU Manager's concurrence with this initial screening list. This concurrence is indicated by the OU Manager signing the screening list.

5.2.7 If the OU Manager and the AR Coordinator do not agree on the inclusion of a document in the AR, the Environmental Restoration Records and Reporting Division Manager may determine which position is correct; the Associate General Manager of Environmental Restoration may make the final determination. In all cases resolution of this disagreement shall be formally documented (normally in the form of a memo) in the EM records.

5.2.8 Revises the AR consistent with the resolution of any comments by the OU Manager.

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5.2.9 Evaluates the candidate AR documents for confidentiality. Criteria for the qualification are based on specific written guidelines developed by DOE. Responsibility for final determination of confidentiality lies with either EG&G Rocky Flats or DOE depending on the nature of the document.

5.2.10 Arrange for a classification review of all candidate AR documents, if not previously done.

### 5.3 Copy Candidate AR Documents

5.3.1 Following EG&G OU manager concurrence, the AR Coordinator obtains copies of the documents (see Step 5.1.3) identified as a candidate AR document, if needed. Documents identified as classified (see Step 5.2.10) are not included in the AR.

5.3.2 Review each document to ensure complete and accurate reproduction of documents. The following steps are followed to execute the QC procedures:

5.3.2.1 Review each page prior to reproduction to ensure the page is clear and legible.

5.3.2.2 Have the pages reproduced.

5.3.2.3 Review all pages of the reproduced documents for legibility and clarity.

5.3.3 Organize the documents by date.

5.3.4 Stamp each of the documents with "ADMIN RECORD" in the lower left-hand corner of the first page of each document.

5.3.5 Return duplicate to the EM records center for retention.

5.3.6 AR Records in the EM records center are non-circulating references. The ERR Manager and the AR Records Coordinator ensure that these records are viewed or copied only under the direct supervision of records center personnel.

5.3.7 The ERR Manager and the AR Records Coordinator ensure that these records are not removed from the records center.

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### 5.4 Number Documents

#### NOTE

To be consistent with remediation activities and OU designations at the site, arrange the AR File into 18 file categories: 16 OU files, one file for Sitewide information, and a confidential file. A description of the file categories and numbering scheme is included in Appendix 2: "Administrative Record-File Categories."

- 5.4.1 Screen the current AR Index using a computer search and a physical file confirmation step to ensure that the document waiting to be numbered does not already exist in the AR.
- 5.4.2 Document this screening in accordance with applicable procedures.
- 5.4.3 If this is not an AR record then:
  - 5.4.3.1 Return all masters and copies to the EM records center. Copies may be discarded if the EM records center indicates they are not needed. This notification may be verbal.
  - 5.4.3.2 Go to step 5.4.11.
- 5.4.4 Number documents using an alpha-numeric, ten-digit computer-generated label. The two-letter, two-digit prefix identifies the OU or Sitewide category and the six-digit sequential number (see Appendix 2) identifies the document's place within a specific OU or Sitewide file (e.g., OU01-000050 represents the 50th document in the file designated as Operable Unit 1).
  - 5.4.4.1 Place the document number label on the bottom, right-hand corner of the first page of the document.
  - 5.4.4.2 Duplicate documents are assigned the same numbers as originals, except that duplicates contain the prefix "D".
  - 5.4.4.3 Document this number and whether or not the record is confidential on the computer printout.
- 5.4.5 Review documents and verify that each document has a number in accordance with Step 5.4.4.

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- 5.4.6 Review each document to ensure that all numbers are assigned correctly, are clearly legible, and are in the correct sequence.
- 5.4.7 If at any time during the document numbering quality control actions it is noted that a document was not numbered, assign the document a number and document this action.
- 5.4.8 Make necessary changes and review the changes.

### NOTE

On occasion, a document may be removed from the AR File. Reasons for removing documents include discovering that a document is a duplicate of another document already present in the AR File, a document is inappropriate for inclusion into the AR File, a document belongs in the confidential section of the AR File, or that a document belongs to a different OU.

- 5.4.9 Upon completion of Steps 5.4.5 to 5.4.8, initial the computer output for this record.
- 5.4.10 When a document is removed from, or moved within the AR File, place a Document Replacement Form (Appendix 9, Form 17.02B) containing the document's number in the document's original location.
  - 5.4.10.1 If a document is removed from the AR file altogether, the form will provide an explanation of why it was removed.
  - 5.4.10.2 When a document is moved to another location within the AR File, the form will provide the document's new location.
  - 5.4.10.3 The Document Replacement Forms (see Appendix 9, Form 17.02B) are microfilmed and also listed in the indices to provide for consecutively numbered documents within the AR Files.
  - 5.4.10.4 Document removal from the AR file requires the authorization of the ERR Manager or another manager higher in the ERR reporting chain.
- 5.4.11 If no further documents are to be screened, sign and date the output used in the screening process and submit it to the EM records center. Typically these forms will be submitted for inclusion in a records package established by the ERR Manager.

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### 5.5 Recording Relevant Information

#### NOTE

To assure adequate document identification and description, a project-specific document extraction sheet is used to aid in the data extraction process. Data are extracted from all AR-pertinent documents onto the extraction sheet and entered onto the computerized database from the extraction sheet. The types of information extracted and the corresponding database field names are listed below. An example of the extraction sheet is presented in Appendix 3 and an example of the computer data entry screen is presented in Appendix 4.

Type of Information	Database Field Name
Document Number	DOCNO
Date of Document	DATE
Estimated Date Flag	EDATE
Attachments	ATTACHED
Attached To	ATTACHMT/ATTACHMT2
Document Type	DOCTYPE
Number of Pages	PAGES
Title/Subject of Document	TITLESUB
First Author/Organization	AUTH/AUTHORG
Second Author/Organization	AUTH2/AUTHORG2
Third Author/Organization	AUTH3/AUTHORG3
First Recipient/Organization	RECIPIENT/RECIPORG
Second Recipient/Organization	RECIPIENT2/RECIPORG2
Third Recipient/Organization	RECIPIENT3/RECIPORG3
Microfiche Range Number	FICHENO/FICHENO2
Frame Range Number	FRAMENO/FRAMENO2
Privileged Document	PRIVILEGE

- 5.5.1 The AR Coordinator completes a project-specific document extraction sheet for each numbered AR document.
- 5.5.2 Enter the data for all AR-pertinent documents into the computerized database (see Appendix 10 for data entry information).
- 5.5.3 Document and verify extraction in a manner consistent with applicable AR handling and development procedures.
- 5.5.4 The extraction sheet may be discarded after completion of this step.

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### **5.6     Index the Documents**

#### **NOTE**

Documents are indexed chronologically by date and also by document number. The AR Index software operates on an IBM PC using dBASE III+. The database and set of program software is protected with passwords known only to authorized personnel. The database is designed to allow one record for each document and the database fields correspond to the information requirements of the extraction sheet. Certain repetitive fields are assigned a matchlist number to expedite data input. The fields in the database that use a matchlist code number include: AUTH, AUTH2, AUTH3, AUTH/ORG, AUTH/ORG2, AUTH/ORG3, RECIPIENT, RECIPIENT2, RECIPIENT3, RECIPIORG, RECIPIORG2, RECIPIORG3, and DOCTYPE.

#### **5.6.1    Conduct Data Extraction and Indexing QC**

#### **NOTE**

An example data extraction quality assurance/quality control printout is presented in Appendix 5.

The AR Coordinator shall:

- 5.6.1.1 Generate a draft QC printout.
- 5.6.1.2 Compare the data on the QC printout to the original document in order to detect information extraction errors.
- 5.6.1.3 Make all corrections directly on the draft QC Index printout.
- 5.6.1.4 Input edits from the QC index printout into the database.
- 5.6.1.5 Generate a new QC printout and compare it to the previous QC printout to assure that all edits were made to the database.
- 5.6.1.6 Repeat steps 5.6.1.1 to 5.6.1.5, as necessary, to obtain an index consistent with the original documents.
- 5.6.1.7 Make any changes directly on the second QC printout.
- 5.6.1.8 Perform final edits to the database.

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### **NOTE**

The AR Documents records package contains the documentation related to generation of the AR for the specific calendar year. This package does not contain copies of the records in the AR, rather it contains the QA records that document that the selection and indexing process was performed appropriately.

### **5.6.2 Generate Draft Index**

- 5.6.2.1 Generate computer-generated index for DOE and EG&G review. The index is produced in chronological order by AR File category (e.g., Sitewide or OU) as requested by the AR Coordinator.
- 5.6.2.2 Note additions or deletions of records, or any other changes directly on the index. An example of the report format for the AR Index is presented in Appendix 6.
- 5.6.2.3 Transmit this computer-generated index to DOE (EM and Chief Counsel), EG&G General Counsel, and the ERR Manager for review. A copy of all memoranda indicating staff disagreement over documents subject to inclusion (see Section 5.2.7, 5.2.9) shall be provided to Legal Counsel for reevaluation.

### **5.6.3 Incorporate EG&G and DOE Changes**

- 5.6.3.1 Incorporate final decisions by EG&G and DOE regarding document status (e.g., AR, non-AR, or change in file category). Any changes to be made regarding document status are indicated directly on the draft index and then input into the system, in a manner consistent with this procedure.
- 5.6.3.2 Generate computer-generated index for EPA and CDH review. The index is produced in chronological order by AR File category (e.g., Sitewide or OU) as requested by the AR Coordinator.
- 5.6.3.3 Note additions or deletions of records, or any other changes directly on the index. An example of the report format for the AR Index is presented in Appendix 6.
- 5.6.3.4 Arrange through DOE to have EPA and CDH review the draft AR Index. Document additions or deletions, or any other changes to the index by EPA are submitted to the ARC for editing and input.

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### 5.6.4 Generate Final Index

- 5.6.4.1 Generate final AR File indices for the appropriate OU or Sitewide files.
- 5.6.4.2 Arrange for the microfilming of the AR File indices (see Section 5.7, 5.7.5).
- 5.6.4.3 Compare the microfilm to the originals and repeat step 5.6.4.2, as necessary, to obtain a legible, complete and accurate copy.
- 5.6.4.4 Distribute the indices to the various administrative records centers and other locations and individuals designated by AR Coordinator.

### 5.7 Microfilm Documents

#### NOTE

After compiling and indexing AR document files, they are microfilmed and converted to microfiche format. AR files on microfiche are produced for distribution to public locations.

#### 5.7.1 Prepare documents for filming.

- 5.7.1.1 The AR Coordinator physically examines documents for legibility and place in numerical order.
- 5.7.1.2 If documents are not legible contact the EM records center to obtain an improved copy for microfilming, if any exists.

#### 5.7.2 Film documents and produce duplicates.

- 5.7.2.1 Microfilm documents in numerical order and prepare a silver gel 16 mm roll master microfilm.
- 5.7.2.2 From the silver gel 16 mm roll master, produce and archive a silver duplicate roll for archive purposes.

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5.7.2.3 Use the silver gel master roll to produce the original set of microfiche cards.

(1) Produce the original microfiche cards by cutting the silver gel roll film into sections and loading the film into microfiche jackets.

(2) The microfiche jackets loaded with the sections of silver gel roll film become the original microfiche.

5.7.2.4 Generate six sets of diazo microfiche cards from the silver gel original.

5.7.2.5 Generate a diazo microfilm roll and index with the identification number of each roll listed for this original.

5.7.2.6 Identify the microfiche cards as described in Section 5.7.4.

5.7.2.7 Verify microfilming process quality in accordance with Section 5.7, 5.7.5.

5.7.2.8 Distribute diazo microfiche copies to the public information centers in accordance with Section 5.9.

5.7.2.9 Ensure the silver duplicate rolls and original microfiche cards are archived in a secure storage location by the microfilming contractor.

### 5.7.3 Label Microfilm rolls.

5.7.3.1 Assign a unique identification number to each roll of microfilm.

#### NOTE

With DOE's approval, the same numbering system that the EPA Region VIII's Records Management Office uses for microfilm was adopted for numbering Rocky Flats Plant AR microfilm. Microfilm roll numbers begin with "RCK", followed by a sequential 900 number. The first roll of AR microfilm is numbered RCK900, the second is numbered RCK901 and so forth.

5.7.3.2 During the filming process, film each frame with an information strip which contains the document file category, microfilm roll number, and sequential frame number.

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5.7.3.3 Identify the first and last pages of a document by an "F" or "L" respectively. The first and last page designations appear immediately following the sequential frame number (See Appendix 7: Example Microfilm/Microfiche Frame). For example, a microfilm roll which contains 1000 frames might be identified by the following designation: "RCK900-0001 to RCK900-1000."

### 5.7.4 Identify microfiche cards.

5.7.4.1 Identify the microfiche cards as listed below:

- (1) Ensure that the AR File Index, and microfiche cards are organized by OU.
- (2) A header at the top of each microfiche card identifies which OU and the range of documents (by document number) that are contained on each card.
- (3) The number following the OU designation identifies the card's position within the microfiche card file for that OU. For example, the first microfiche card which contains the documents in the AR File Index for Operable Unit 4 is identified by "OU04-1"; the second card in the file will be identified by "OU04-2. The range of documents that a microfiche card contains is located in the upper right-hand corner on the card (See Appendix 8: Example Microfiche Card).

5.7.4.2 Review the microfiche card to verify that it is identified as described in Step 5.7.4.1.

5.7.4.3 If the microfiche card is not properly identified correct or replace it (see Step 5.7.2.4) and identify it in accordance with Step 5.7.4.1.

### 5.7.5 Quality Control Inspection of Subcontractor Microfilming

5.7.5.1 Send exposed microfilm to the laboratory designated by the AR Coordinator, where it is processed in accordance with accepted industry standards.

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### 5.7.5.2 Verify, by routine oversight that:

- (1) The processors are calibrated for density measurements daily and the chemicals are changed after every 2,000 feet of film.
- (2) Once the film is processed, a density reading is made and recorded. Density parameters range from 0.85 and 1.25 inclusive for silver original and silver duplicate film. The resultant diazo microfiche jacket duplicate has density parameters ranging from 0.90 to 1.40.
- (3) A resolution reading is made and recorded using a Resolution Test Chart, after filming.
- (4) After items 1 through 3 have been successfully completed, a complete inspection is conducted to ensure that all standards and requirements are satisfied.
- (5) A frame by frame inspection is conducted to check for tears, holes in the emulsion, scratches, skewed documents, dirt, ghosting (i.e., multiple images), and newton rings (i.e., color distortion).
- (6) Correct any film or print defects found during this QC phase.
- (7) Review rephotographed frames to ensure that the defect is corrected (see items 1 through 5).

5.7.5.3 Have the subcontractor send the film to the AR Coordinator or distribute it to the reading room specified in Step 5.9.4 and other locations designated by DOE.

5.7.5.4 If the steps in Section 5.9 are implemented by the subcontractor, the inspection addressed in Step 5.7.5.2 shall include Section 5.9 activities.

## 5.8 Maintain and Update the Administrative Record

- 5.8.1 As the Index is reviewed by EG&G, DOE, EPA, and CDH, the AR Coordinator continues the records identification and indexing of other OU files and the Sitewide file.

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- 5.8.2 Resolve comments received in Step 5.8.1 and document the comments and resolution. Where feasible, this documentation should be similar to that specified in 3-21000-ADM-05.01, Document Review.
- 5.8.3 Upon resolution of comments (See Step 5.8.1), arrange for the Index to be edited and generate a new Index, as needed. A pre-determined review period is followed by the participating reviewers to avoid potential lag-time in project progress.
- 5.8.4 Update OU files and the Sitewide files as documents are made available.

**5.9 Establish Reading Rooms At Repositories**

**NOTE**

**This task is only implemented as necessary per DOE direction, except for maintaining the readers/copiers.**

- 5.9.1 Arrange for microfiche readers/copiers to be installed at reading rooms specified by DOE.
- 5.9.2 Arrange for implementation of the maintenance agreement to maintain the readers/copiers at each location.

**NOTE**

**Money from coin boxes will be used to partially reimburse the cost of the copies and equipment.**

- 5.9.3 Install a coin box on each reader/copier so that a small fee may be charged for copies of documents. Money from coin boxes will be collected on a quarterly basis.
- 5.9.4 Place a microfiche copy of the approved EPA AR Indexes and AR Files at the following four locations:
  - (1) Rocky Flats Reading Room
  - (2) Colorado Council on Rocky Flats
  - (3) Colorado Department of Health
  - (4) Environmental Protection Agency Region VIII Library

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### **5.10 RFP Non-Environmental Management Records**

5.10.1 The Associate General Manager of Environmental Restoration Management ensures a procedure is issued to require all RFP organizations to submit copies of all records generated or received by them that may belong in the AR to the EM records center. Records already present in the EM records center are exempted from this requirement.

5.10.2 The EM record center shall treat these records as EM records for purposes of inclusion, as appropriate in the AR (see Section 5.1 to 5.9 of this procedure). These records need not be included as EM records if it is determined they do not belong in the AR.

### **5.11 Assessment of AR Quality**

#### **5.11.1 AR Quality Inspection**

5.11.1.1 An inspector, who has received documented training on the screening criteria for documents in the AR, shall review the document not included in the AR quarterly.

5.11.1.2 The number of records evaluated shall meet the following criteria:

i) Sufficient number to ensure that there is a 99% probability that all the records that should be in the AR are included in the AR (see MIL-STD-105D), and

ii) All the records not included or at least 50 of the records not included have been reviewed.

5.11.1.3 If a record is identified, which apparently should have been included in the AR, this record shall be formally (in writing) re-transmitted to AR Coordinator, who shall then re-process this record in accordance with this procedure, as if it were a new record.

5.11.1.4 The results of this inspections shall be formally documented in accordance with the EM Field Inspection procedure (3-21000-ADM-10.01).

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### **5.11.2 Self Evaluations of the Quality of the AR**

- 5.11.2.1 At least once every year a self evaluation of the completeness of the AR (including evaluation of the implementation of this procedure) in accordance with EM procedure 3-21000-ADM-18.02, Surveillance (or it replacement).
- 5.11.2.2 This evaluation shall emphasize verification that the current program ensures that all records that should be in the AR are included in the AR.
- 5.11.2.3 This evaluation shall include a review of the AR for completeness, including an appropriate sampling of ER records not previously included in the AR to compare against the AR inclusion criteria (see Section 5.11.1.2).

## **6.0 RECORDS**

The AR is essentially a copy of quality assurance records which is made available to the public. The index, evaluation, and review documentation, specified to be sent to the EM records center in this procedure, shall be included in the EM records center. These records shall be submitted in accordance with procedure 3-21000-ADM-17.01, QA Records Management.

## **7.0 REFERENCES**

- 7.1 Rocky Flats Interagency Agreement, January 22, 1991.
- 7.2 Final Guidance on Administrative Records for Selecting CERCLA Response Actions, U.S. Environmental Protection Agency, Office of Solid Waste and Emergency Response, Directive No. 9833.3A-1.
- 7.3 Military Standard, 1963. "Sampling Procedures and Tables For Inspection By Attributes," MIL-STD-105D.

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- 7.4 Environmental Management Procedure, 3-21000-ADM-05.05, Document Review.
- 7.5 Environmental Management Procedure, 3-21000-ADM-10.01, Inspections.
- 7.6 Environmental Management Procedure, 3-21000-ADM-17.01, Quality Assurance Records Management.
- 7.7 Environmental Management Procedure, 3-21000-ADM-17.04, Review of Existing EM Records for Inclusion in the Administrative Record and/or the EM Quality Records System (when issued).

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## APPENDIX 1

### Criteria for Administrative Record Compilation

Section Number	Section Name	Contents	Approval or Responsibility Development
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REMEDIAL		
<u>RI/FS Activity</u>	<u>Documents</u>	<u>Check if included</u>
Preliminary Assessment and Site Investigation	Preliminary Assessment Report (PA)	
	Site Investigation (SI) Sampling Plan	
	SI Sampling Data	
	SI Quality Assurance Project Plan (QAPjP)	
	SI Report	
	Inspection Reports	
	Remedial Investigation (RI) Sampling Plan	
Remedial Investigation/Feasibility	Final RI Work Plan and any Amendments	
Study Work Plan Approved	Final FS Work Plan and any Amendments	
Remedial Investigation Started	RI Chain of Custody Forms	
Feasibility Study Started	RI Quality Assurance Project Plan (QAPjP)	
	RI Sampling Data	
	Fact Sheet or Summary Information on the Remedial Action Alternatives	
	Data Summary Sheets	
Remedial Investigation Completed	RI Report (final)	
Feasibility Study Completed	FS Report (final)	
	RI/FS Available for Public Comment (if different from final)	
	Technical Studies Performed for the Site	
	Guidance Documents and Technical Literature	
	Memos on Site-Specific or Issue-Specific Policy Decisions	
	Endangerment Assessment/Risk Assessment	
	ATSDR Health Assessment	
	Letter to State Requesting Identification of ARARs	
	Response from State Identifying ARARs	
	Notices to State	
	State Comments on the Final Draft RI/FS	
	Community Relations Plan	

# ADMINISTRATIVE RECORD SCREENING AND PROCESSING

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## APPENDIX 1

### Criteria for Administrative Record Compilation - Continued

Section Number	Section Name	Contents	Approval or Responsibility Development
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REMEDIAL (continued)		
RI/FS Activity	Documents	Check if included
Proposed Plan Released	Proposed Plan	
Start of Public Comment Period	Public Notice of AR Availability	
	Notices of Public Meetings and of Opportunity to Comment	
Public Meeting Held	Documentation and Transcripts of Meetings	
	Written Comments on Selected Remedy Submitted by the Public and the PRPs	
	Factual Information Submitted by the Public and the PRPs	
	Documentation of Substantive Oral Comments on Selected Remedy	
	State Concurrence, Nonconcurrence, or Comments on the Proposed Plan and Responses to Comments	
	Other Federal Agency Documents (Army Corps of Engineers, Department of the Interior, etc.)	
	Congressional Correspondence	
Close of Public Comment Period	Responses to Comments (Responsiveness Summary)	
Record of Decision	Record of Decision	
Enforcement Documents	Notice Letters to PRPs	
	Responses to Notice Letters with Relevant Factual Information	
	§ 104(e) Information Request Letters and Subpoenas	
	Responses to 104(e) Request Letters and Subpoenas	
	Affidavits	
	Administrative Orders	
	Consent Decrees	

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## APPENDIX 1

### Criteria for Administrative Record Compilation - Continued

Section Number	Section Name	Contents	Approval or Responsibility Development
-------------------	-----------------	----------	---

REMOVAL	
<u>Documents</u>	<u>Check if included</u>
<b>Enforcement Documents</b> (These should be included as generated)	
Preliminary Assessment Report (PA)	
Site Investigation Report	
EE/CA Approval Memo	
Sampling Plan, Sampling Data and Data Summary Sheets	
Chain of Custody Forms	
Site Logs	
Inspection Reports	
Technical Studies and Treatability Studies	
Endangerment Assessment/Risk Assessment	
Factual Information from the Public/PRPs	
Site- or Issue-Specific Policy Memos	
Guidance Documents and Technical Literature	
Community Relations Plan	
Public Notices of AR Availability	
EE/CA (for non-time critical removals)	
Public Notices of Meetings and Opportunities to Comment	
Documentation of Public Meetings	
Public Comments (including PRPs)	
Interagency Agreements	
State and Federal Agency Comments	
ATSDR Health Assessments and other Health Studies	
Congressional Correspondence	
Response to Significant Comments	
Documentation of State Involvement	
Documentation of Compliance with ARARs	
Pollution Reports	
Action Memos and Amendments	
Closeout Documents	

**ADMINISTRATIVE RECORD SCREENING AND PROCESSING**

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**APPENDIX 1****Criteria for Administrative Record Compilation - Continued**

Section Number	Section Name	Contents	Approval or Responsibility Development
-------------------	-----------------	----------	---

REMOVAL (continued)	
<u>Documents</u>	<u>Check if included</u>
<b>Enforcement Documents</b> (These are only included if relevant to the removal action selection)	
Notice Letters to PRPs	
Responses to Notice Letters with Relevant Factual Information	
§ 104(e) Information Request Letters and Subpoenas	
Responses to 104(e) Request Letters and Subpoenas	
Affidavits	
Administrative Orders	
Consent Decrees	

**ADMINISTRATIVE RECORD SCREENING AND PROCESSING**

<b>EG&amp;G ROCKY FLATS PLANT</b>	<b>Manual Number:</b>	<b>3-21000-ADM</b>
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**APPENDIX 2****Administrative Record - File Categories**

<b>Section Number</b>	<b>Section Name</b>	<b>Contents</b>	<b>Approval or Responsibility Development</b>
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GUIDE TO ROCKY FLATS PLANT ADMINISTRATIVE RECORD FILE CATEGORIES		
<u>CATEGORY NUMBER</u>	<u>CATEGORY</u>	<u>DESCRIPTION</u>
SW	SITE WIDE	Sitewide Information
OU01	OPERABLE UNIT 1	881 Hillside Area
OU02	OPERABLE UNIT 2	903 Pad Mound Area & East Trenches
OU03	OPERABLE UNIT 3	Off Site Areas
OU04	OPERABLE UNIT 4	Solar Ponds
OU05	OPERABLE UNIT 5	Woman Creek
OU06	OPERABLE UNIT 6	Walnut Creek
OU07	OPERABLE UNIT 7	Present Landfill
OU08	OPERABLE UNIT 8	700 Area
OU09	OPERABLE UNIT 9	Original Process Waste Lines
OU10	OPERABLE UNIT 10	Other Outside Closures
OU11	OPERABLE UNIT 11	West Spray Field
OU12	OPERABLE UNIT 12	400/800 Area
OU13	OPERABLE UNIT 13	100 Area
OU14	OPERABLE UNIT 14	Radioactive Sites
OU15	OPERABLE UNIT 15	Inside Building Closures
OU16	OPERABLE UNIT 16	Low Priority Sites

**ADMINISTRATIVE RECORD SCREENING AND PROCESSING**

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**APPENDIX 3**  
**Example Extraction Sheet**

<b>Section Number</b>	<b>Section Name</b>	<b>Contents</b>	<b>Approval or Responsibility Development</b>
---------------------------	-------------------------	-----------------	---

<b>ADMINISTRATIVE RECORD FILE INDEX EXTRACTION SHEET</b>													
<div>Document Number: _____ Date: __/__/__ Est.: _____ Pages: _____</div> <div>Attachment(s): _____ to _____</div> <div>Attached To: _____ to _____</div> <div>Title Subject: _____ _____ _____ _____</div> <div><table style="width: 100%;"><tbody><tr><td style="width: 50%;">Author 1: _____</td><td style="width: 50%;">Recipient 1: _____</td></tr><tr><td>Author Organization 1: _____</td><td>Recipient Organization 1: _____</td></tr><tr><td>Author 2: _____</td><td>Recipient 2: _____</td></tr><tr><td>Author Organization 2: _____</td><td>Recipient Organization 2: _____</td></tr><tr><td>Author 3: _____</td><td>Recipient 3: _____</td></tr><tr><td>Author Organization 3: _____</td><td>Recipient Organization 3: _____</td></tr></tbody></table></div> <div>Fiche Number Range: _____ to _____      Frame Range: _____ to _____</div> <div>Privileged _____</div>		Author 1: _____	Recipient 1: _____	Author Organization 1: _____	Recipient Organization 1: _____	Author 2: _____	Recipient 2: _____	Author Organization 2: _____	Recipient Organization 2: _____	Author 3: _____	Recipient 3: _____	Author Organization 3: _____	Recipient Organization 3: _____
Author 1: _____	Recipient 1: _____												
Author Organization 1: _____	Recipient Organization 1: _____												
Author 2: _____	Recipient 2: _____												
Author Organization 2: _____	Recipient Organization 2: _____												
Author 3: _____	Recipient 3: _____												
Author Organization 3: _____	Recipient Organization 3: _____												

**ADMINISTRATIVE RECORD SCREENING AND PROCESSING**

<b>EG&amp;G ROCKY FLATS PLANT</b>	<b>Manual Number:</b>	<b>3-21000-ADM</b>
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**APPENDIX 4****Example Computer Data Entry Screen**

Section Number	Section Name	Contents	Approval or Responsibility Development
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09/17/90	Rocky Flats Plant:	INPUT/EDIT Screen	[Record: 21]
Document Number: _____ Date: __/__/__ Est.: _____ Pages: _____			
Attachment(s): _____ to _____			
Attached To: _____ to _____			
Title Subject: _____			
_____			
_____			
_____			
Author 1: _____ Recipient 1: _____			
Author Organization 1: _____ Recipient Organization 1: _____			
Author 2: _____ Recipient 2: _____			
Author Organization 2: _____ Recipient Organization 2: _____			
Author 3: _____ Recipient 3: _____			
Author Organization 3: _____ Recipient Organization 3: _____			
Fiche Number Range: _____ to _____ Frame Range: _____ to _____			
Privileged _____			

**ADMINISTRATIVE RECORD SCREENING AND PROCESSING****EG&G ROCKY FLATS PLANT  
EM ADMINISTRATIVE  
PROCEDURE MANUAL****Manual Number:****3-21000-ADM****Procedure No:****17.02, Rev 0****Page:****34 OF 41****Effective Date:****12/7/92****Category 3****Organization: Environmental Restoration****APPENDIX 5****Example Quality Assurance/Quality Control Printout**

Section Number	Section Name	Contents	Approval or Responsibility Development
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Rocky Flats Plant		Page: 1
09/17/90	Administrative Record File Index Data Extraction QA/QC Printout	
Document Number: _____ Date: ____/____/____ Est.: _____ Pages: _____		
Attachment(s): _____ to _____		
Attached To: _____ to _____		
Title Subject: _____ _____ _____ _____		
Author 1: _____	Recipient 1: _____	
Author Organization 1: _____	Recipient Organization 1: _____	
Author 2: _____	Recipient 2: _____	
Author Organization 2: _____	Recipient Organization 2: _____	
Author 3: _____	Recipient 3: _____	
Author Organization 3: _____	Recipient Organization 3: _____	
Fiche Number Range: _____ to _____ Frame Range: _____ to _____		
Privileged _____		

**ADMINISTRATIVE RECORD SCREENING AND PROCESSING**

<b>EG&amp;G ROCKY FLATS PLANT</b>	<b>Manual Number:</b>	<b>3-21000-ADM</b>
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**APPENDIX 6**  
**Example Index Format**

Section Number	Section Name	Contents	Approval or Responsibility Development
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8/20/90	ROCKY FLATS PLANT ADMINISTRATIVE RECORD INDEX 881 HILLSIDE (OPERABLE UNIT 1)	Page: 1
---------	--	---------

EG&G - ROCKY FLATS PLANT  
881 HILLSIDE AREA  
OPERABLE UNIT 01

ADMINISTRATIVE RECORD FILE INDEX: 0U01  
DOCUMENT NUMBER ORDER  
DATE: 05/04/92  
PAGE: 1

DOCUMENT NO.: A - OU01 - 000001      DATE: 10/14/87

DOCUMENT TYPE: CORRESPONDENCE      PAGES: 19

TITLE/SUBJECT: TRANSMITTAL OF COMMENTS ON THE REMEDIAL INVESTIGATION REPORT FOR THE HIGH PRIORITY SITES (881 HILLSIDE AREA) SUBMITTED JULY 1, 1987.

AUTHOR: SOWNISKI, JOAN W.  
AUTHOR ORG.: COLORADO DEPARTMENT OF HEALTH  
AUTHOR: CORBETTA, PATRICIA A.  
AUTHOR ORG.: COLORADO DEPARTMENT OF HEALTH

RECIPIENT: WHITEMAN, ALBERT E.  
RECIPIENT ORG.: DOE, ROCKY FLATS OFFICE  
RECIPIENT: SANCHINI, DOMINICK J.  
RECIPIENT ORG.: ROCKWELL INTERNATIONAL CORPORATION

DOCUMENT NO.: A - OU01 - 000002      DATE: 03/01/88

DOCUMENT TYPE: REPORT/STUDY      PAGES: 220

TITLE/SUBJECT: FEASIBILITY STUDY REPORT FOR HIGH PRIORITY SITES (881 HILLSIDE AREA), VOLUME I.

AUTHOR: MCKINLEY, KIRK B.  
AUTHOR ORG.: ROCKWELL INTERNATIONAL CORPORATION

RECIPIENT: WHITEMAN, ALBERT E.  
RECIPIENT ORG.: DOE, ROCKY FLATS OFFICE

DOCUMENT NO.: A - OU01 - 000003      DATE: 03/01/88

DOCUMENT TYPE: REPORT/STUDY      PAGES: 268

TITLE/SUBJECT: FEASIBILITY STUDY REPORT FOR HIGH PRIORITY SITES (881 HILLSIDE AREA), VOLUME II - APPENDICES

AUTHOR: MCKINLEY, KIRK B.  
AUTHOR ORG.: ROCKWELL INTERNATIONAL CORPORATION

RECIPIENT: WHITEMAN, ALBERT E.  
RECIPIENT ORG.: DOE, ROCKY FLATS OFFICE

# ADMINISTRATIVE RECORD SCREENING AND PROCESSING

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## APPENDIX 7 Example Microfiche Frame

TITLE	ACTIVITY DURATION (DAYS)	TOTAL COST (\$K)	NOTES
Resolve Issues & Finalize (IM/IRAP)	41	93	
EPA/CDH Review and Approve IM/IRAP	21	-	
Public Review of Responsiveness Summary	10	5	
Environmental Assessment (EA)			
(See Remedial Action EA)			
Interim Measure Design			
Perform Title I Design	63	-	
Prepare IM Design Work Plan	21	-	
RFP Review Title I Design	21	-	
EPA/CDH Review and Approve IM Design Work Plan	21	-	
CDH/DOE/EPA/RFP Review Title II Design	42	0	
Finalize Title II Design	42	41	
EPA/CDH Review & Approve IM Title II Design	21	-	
Prepare Construction Package	21	41	
Title III Design As-Built Verification	62	121	
Resolve Issues & Finalize Title I Design	21	-	
Title II Design Eng. Plans & Specs	123	239	
Interim Measure Construction			
Contract Negotiation & Mobilize	104	200	
Construction	Var.		(Site-Specific)
Performance Monitoring & Assessment			
(See Remedial Action PAR)			

# ADMINISTRATIVE RECORD SCREENING AND PROCESSING

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## APPENDIX 8 Example Microfiche Card

### The Microfiche Card

Operable Unit Designation and Microfiche Card Number	Acronym for Rocky Flats	Acronym for Administrative Record	Document Range
↓	↓	↓	↓
OUO4-1	RCK	AR	000001-000002

**ADMINISTRATIVE RECORD SCREENING AND PROCESSING**

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**APPENDIX 9**  
**Document Replacement Form**  
DRF- \_\_\_\_\_

Form 17.02B

Document Title: \_\_\_\_\_

Document Number: \_\_\_\_\_

BASIS (Check Applicable Section)

\_\_\_ Document already exist in the system. Document number maintained in the records: \_\_\_\_\_

\_\_\_ Document determined not to be an AR Record. Basis: \_\_\_\_\_

--- Other justification: \_\_\_\_\_

Complete by:

_____	_____	_____
Name	Signature	Date

Authorized by:

Title: \_\_\_\_\_

_____	_____	_____
Name	Signature	Date

## ADMINISTRATIVE RECORD SCREENING AND PROCESSING

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### APPENDIX 10

#### Data Extraction Guidance (Sheet 1 of 3)

1. Document Number - The unique document number (see Step 5.4.4) will be placed on the first page of every document using a computer-generated label. This number is then entered into the DOCNO field. This number is used to identify each document and provide for document control.
2. Date of Document and Estimated Date - Record the date of the document. This date is intended to identify when a document was produced. An "E" after a document date indicates if it is uncertain that the date on the document is the date the document was produced. If the document is not dated, then an estimated date will be provided by the ARC and will be followed by an "E".
  - 2.a. If the date the document was written is complete, extract the date and leave the field for the estimated date (EDATE) blank.
  - 2.b. If there is no day and/or month, record "01" in these fields (example: 12/01/84 for December 1984 or 01/01/84 for 1984), and enter an "E" in the EDATE field.
  - 2.c. If only the month and day are given, an estimated date will be provided by EG&G and an "E" will be entered in the EDATE field.
  - 2.d. Enter an "E" in the EDATE field if it is uncertain that the date on the document is the date the document was written.
  - 2.e. If the document is not dated, estimate the date at the direction of EG&G project personnel and enter "E" in the EDATE field. The date should not be left blank.
  - 2.f. For documents containing several dates, enter the earliest date found on the document and enter "E" in the EDATE field.
  - 2.g. If available, enter the date the document was written or revised, as opposed to the date the document was received.
  - 2.h. If the only date found on the document is the date received or the date accepted, enter that date and an "E" in the EDATE field.
  - 2.i. Telefax dates on documents are considered as estimated so an "E" is entered in the "EDATE" field.
  - 2.j. If the only available date on a document is the receipt date, classify it as estimated and enter an "E" in the "EDATE" field.
  - 2.k. If the only date on a document is a stamped date, classify it as estimated and enter an "E" in the "EDATE" field.
3. Attachment(s) - Record Attachments identifiers. In cases where a document is the first document of a physically attached group of documents, these numbers identify documents which are physically attached to the first document.
4. Attached To - In cases where the document is part of a physically attached group of documents, identify the first document of the group.

## ADMINISTRATIVE RECORD SCREENING AND PROCESSING

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### APPENDIX 10 (Continue) Data Extraction Guidance (Sheet 2 of 3)

5. Document Type - Label documents using general descriptive categories, such as "Data Summary", "Report/Study", and "Correspondence".
  - 5.a. Enter the document type. One document type is chosen for each document.
  - 5.b. If more than one document type is appropriate, chose one that best describes the main content of the document.
6. Number of Pages - Enter the total number of pages in a document.
  - 6.a. Count the total number of pages in a document and enter this number into the PAGES field. Each side of the paper that has typing or handwriting on it is counted. Appendices and maps are counted as well.
  - 6.b. Verify the number of pages extracted after the documents are microfilmed.
7. Title/Subject of Document - Summarize the main emphasis of the document and enter this title/subject. The summary must be clear, concise and accurate, as a limited amount of text can be entered (five lines of sixty characters each).
  - 7.a. Do not include authors or recipients of documents in this field.
  - 7.b. "Operable Unit" should be abbreviated as "OU".
  - 7.c. If a document is titled, enter the title exactly the way it appears on the document.
  - 7.d. A transmittal is a document that transmits additional documents. If the documents transmitted are not attached to the transmittal or cannot be located, the ARC must be notified.
8. Author(s) - Enter the author's name. Only the person's name should be entered in this field. If no author's name is found, the field should be left blank. The computer program is written so that "NOT INDICATED" will appear in the index if this field is left blank. Up to three authors may be listed.
  - 8.a. If an individual has signed the document for the typed author, enter the typed name in the appropriate author field.
  - 8.b. If there is a cover letter inside a bound report and no author is listed for the report, enter the author of the cover letter in the appropriate author field.
  - 8.c. For memos that do not differentiate between the author and the recipient, the following guideline is used:
    - i. Enter the first name as the author.
    - ii. Enter the second name as the recipient.
9. Author Organization - Enter the author's organization. Represents the company or agency affiliation of the author(s), or stands alone if no author is listed. The computer program is written so that "NOT INDICATED" will appear in the index if this field is left blank. Up to three organizations may be listed.
  - 9.a. This field is for organizations only and represents the company or agency affiliation of the author(s), or stands alone if no author(s) is listed.
  - 9.b. For EG&G Rocky Flats documents, this field should read "EG&G Rocky Flats, Inc".

# ADMINISTRATIVE RECORD SCREENING AND PROCESSING

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## APPENDIX 10 (Continue)

### Data Extraction Guidance (Sheet 3 of 3)

10. Recipient - Enter the recipient's name. Up to three recipients of a document can be listed. Only a person(s) name can be listed. The computer program is written so that "NOT INDICATED" will appear in the index if this field is left blank.
  - 10.a. If the document is addressed to multiple individuals and a check mark appears by one of the names, enter that person as the first recipient of the document.
  - 10.b. If more than three addressees are listed, enter the first three names in the same order as they appear on the document.
11. Recipient Organization - Enter the recipient's organization. Represents the company or agency of the recipient(s), or stands alone if no recipient is listed. Up to three organizations may be listed. The computer program is written so that "NOT INDICATED" will appear in the index if the field is left blank.
  - 11.a. Enter the recipient organization. This field is for organizations only and represents the company/agency of the recipient or stands alone if no recipient(s) is listed on the document.
  - 11.b. If the recipient organization is EG&G Rocky Flats, this field should read "EG&G Rocky Flats, Inc".
12. Microfiche Range Number - Enter the microfiche number into the FICHENO and FICHENO2 fields after the documents are microfilmed and fiche prepared. This number identifies which fiche cards contain particular documents.
13. Frame Range Number - A microfilm frame number is automatically assigned to each page of the document as the document is microfilmed. Enter this frame range number into the FRAMENO and FRAMENO2 fields on the database of its corresponding document. This number assists in the retrieval of documents from the AR File and identifies where a document is located on a particular fiche card.
14. Confidential Document - Flag this field for a document only at the direction of the ARC. These documents will be maintained in the privileged portion of the AR.